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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on



11/26/01

Date of Deposit

Gregory M. Zinkl, Ph.D.

Name of Applicant, Assignee or  
Registered Representative

A handwritten signature in black ink, appearing to read "G. Zinkl".

Signature

11/26/01

Date of Signature

Our Case No. 10716/57

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Pennica et al.

Serial No.: 09/816,653

Filed: March 23, 2001

For: NOVEL HUMAN STRA6-  
LIKE PROTEIN AND  
NUCLEIC ACIDS  
ENCODING THE SAME

Examiner: To be assigned

Group Art Unit: 1641

**REQUEST FOR RECORDING CORRECTED COVER SHEET  
PURSUANT TO 37 C.F.R. §3.34**

U.S. Patent and Trademark Office  
Assignment Division – Box Assignments  
North Tower Building, Suite 10C35  
Washington, D.C. 20231

Dear Sir:

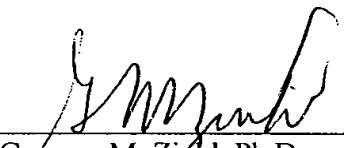
Please record the attached corrected cover sheet for the above-identified patent application. An error in the original assignment cover sheet is apparent when it is compared to the recorded document at Reel No. 012053, Frame No. 0448.

The original cover sheet did not list the correct "Number of applications and patents involved", nor did it provide the correct "Total Fee". The correct number of applications involved is 2 (09/816, 653 and 60/191,532) and the correct total fee should be \$80.00.

Please also correct the United States Patent and Trademark Office Notice of Recordation of Assignment Document for the above-referenced patent application to reflect the correct filing date of March 23, 2001. The Recordation of Assignment Document currently reflects an incorrect filing date of March 26, 2001. Please find enclosed a copy of the Original Filing Receipt, which reflects the correct filing date of March 23, 2001.

A copy of the previously recorded documents and recording fee are also enclosed.

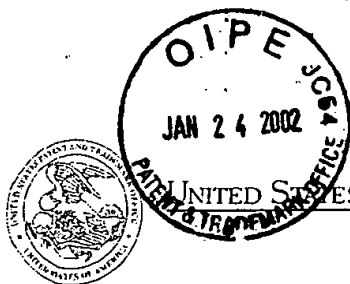
Respectfully submitted,



---

Gregory M. Zinkl, Ph.D.  
Registration No. 48,492  
Attorney for Applicant

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
Chicago, Illinois 60610  
(312) 321-4200



UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/816,653	03/23/2001	1641	0.00	10716/57	1	35	10

CONFIRMATION NO. 6857

## FILING RECEIPT



\*OC000000006218790\*

 PAUL RAUCH  
 1517 CORCORAN ST., N.W.  
 WASHINGTON, DC 20009

Date Mailed: 06/25/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

 Luca Rastelli, Residence Not Provided;  
 Diane Pennica, Residence Not Provided;

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/191,532 03/23/2000

## Foreign Applications

UNITED KINGDOM 0007333.8 03/28/2000

If Required, Foreign Filing License Granted 05/31/2001

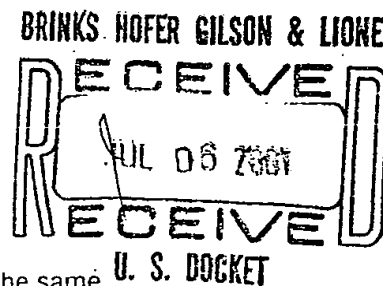
Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Novel human STRA6-like protein and nucleic acids encoding the same



Preliminary Class

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

8/4

TRANSMITTAL LETTER			Case No. 10716/57
Serial No. 09/816,653	Filing Date March 23, 2001	Examiner To be assigned	Group Art Unit 1641
Inventor(s) Pennica et al.			
Title of Invention NOVEL HUMAN STRA6-LIKE PROTEIN AND NUCLEIC ACIDS ENCODING THE SAME			

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is a Request for Recording Corrected Cover Sheet; Corrected Cover Sheet; copy of previously recorded assignment documents; copy of Original Filing Receipt; check in the amount of \$80.00 and return postcard.

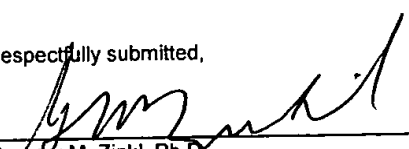
- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☐ No additional fee is required.
- ☐ The fee has been calculated as shown below:

	Claims Remaining After Amendment	Highest No. Previously Paid For	Present Extra
Total	Minus		
Indep.	Minus		
First Presentation of Multiple Dep. Claim			

Small Entity		or	Other Than Small Entity	
Rate	Add'l Fee		Rate	Add'l Fee
x \$9=			x \$18=	
x 42=			x \$84=	
+\$140=			+ \$280=	
Total add'l fee	\$		Total add'l fee	\$

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$80.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

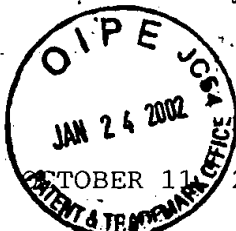
  
\_\_\_\_\_  
Gregory M. Zinkl, Ph.D.  
Registration No. 48,492  
Agent for Applicant

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on 11/26/01

Date: 11/26/01

Signature: 



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 11 2001

PTAS



\*101809551A\*

BRINKS HOFER GILSON & LIONE  
GREGORY M. ZINKL, PH.D.  
P.O. BOX 10395  
CHICAGO, IL 60610

**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/03/2001

REEL/FRAME: 012053/0448  
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
PENNICIA, DIANE

DOC DATE: 07/24/2001

ASSIGNOR:  
RASTELLI, LUCA

DOC DATE: 07/20/2001

ASSIGNEE:  
GENENTECH, INC.  
1 DNA WAY  
SOUTH SAN FRANCISCO, CALIFORNIA

94080

ASSIGNEE:  
CURAGEN CORPORATION  
555 LONG WHARF DRIVE  
NEW HAVEN, CONNECTICUT 06511

SERIAL NUMBER: 09816653  
PATENT NUMBER:

FILING DATE: 03/26/2001  
ISSUE DATE:

**RECEIVED**

**AUG 27 2002**

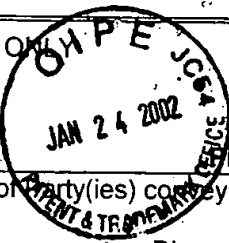
**TECH CENTER 1600/2900**

012053/0448 PAGE 2

PAULA MCCRAY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

CORRECTED

## TO THE COMMISSIONER FOR PATENTS



Please record the attached original document or copy thereof.

1. Name of Party(ies) conveying an interest:

Diane Pennica  
Luca Rastelli

2. Name and Address of Party(ies) receiving an interest:

Name: Genentech, Inc.  
Internal Address:  
Street Address: 1 DNA Way  
City: South San Francisco  
State/Zip: California, 94080

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

Additional name(s) and addresses attached?

☒ Yes ☐ No

3. Description of the interest conveyed:

☒ Assignment☐ Change of Name Other:☐ Security Agreement☐ Merger

Execution Date: 07/24/01 and 07/20/01; respectively

4. Application number(s) or patent number(s). Additional sheet attached? ☐ Yes ☒ No

If this document is being filed together with a new application, the execution date of the application is:

Date

A. Patent Application No.(s)

09/816,653

60/191,532

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, IL 60610  
(312)321-4200

6. Number of applications and patents involved: 2

7. Total fee (37 CFR 3.41)

\$ 80.00

☒ Enclosed☐ Authorized to be charged to Deposit Account No. 23-19258. ☒ Please charge any deficiencies in fee or credit any overpayment to Deposit Account No. 23-1925.

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Repln. Ref: 01/29/2002 LMUELLER 0011593200

DAB:231925 Name/Number:09816653

FC: 704 \$40.00 CR

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Gregory M. Zinkl, Ph.D.  
Name of Person Signing

  
Signature
11/26/01  
Date

Total number of pages including cover sheet, attachments, and document: 5

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Rev. Dec.-99

Document5

01/29/2002 LMUELLER 00000192 09816653

AUG 27 2002

01 FC:581

80.00 OP

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08-13-2001

D/A

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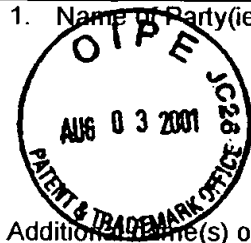
ENTS

PATENTS ONLY

Please record this document in the original document or copy thereof.

101809551

1. Name of Party(ies) conveying an interest:

Diane Pennica  
Luca Rastelli

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and Address of Party(ies) receiving an interest:

Name: Genentech, Inc.  
Internal Address:  
Street Address: 1 DNA Way  
City: South San Francisco  
State/Zip: California, 94080

Additional name(s) and addresses attached?

☒ Yes ☐ No

3. Description of the interest conveyed:

☒ Assignment ☐ Change of Name Other:  
☐ Security Agreement ☐ Merger

Execution Date: 07/24/01 and 07/20/01; respectively

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If this document is being filed together with a new application, the execution date of the application is:

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09/816,653

60/191,532

B. Patent No.(s)

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AUG 27 2002

Additional numbers attached? ☐ Yes ☒ No

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5. Name and address of party to whom correspondence concerning document should be mailed:

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P.O. BOX 10395  
CHICAGO, IL 60610  
(312)321-4200

6. Number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00

☒ Enclosed  
☐ Authorized to be charged to Deposit Account No. 23-19258. ☒ Please charge any deficiencies in fee or credit any overpayment to Deposit Account No. 23-1925.

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Adjustment date: 01/29/2002 LMUELLER

08/13/2001 6TOM11 00000011 09816653

01 FC:581 -40.00 DP

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Gregory M. Zinkl, Ph.D.  
Name of Person Signing

  
Signature
8/1/01  
Date

Total number of pages including cover sheet, attachments, and document: 5

Rev. Dec.-99

Document5

08/13/2001 6TOM11 00000011 09816653

01 FC:581

40.00 DP

Continuation of Box 2:

Name: CuraGen Corporation

Internal Address:

Street Address: 555 Long Wharf Drive

City: New Haven

State/Zip: Connecticut 06511

ASSIGNMENT

WHEREAS, Diane Pennica and Luca Rastelli, hereinafter called the "Assignors", have made the invention described in the United States patent application entitled NOVEL HUMAN STRA6-LIKE PROTEIN AND NUCLEIC ACIDS ENCODING THE SAME for a full description of which reference is here made to an application for Letters Patent of the United States filed on March 23, 2001 and assigned Application Serial No. 09/816,653, which claims priority to Provisional Application Serial No. 60/191,532, filed on March 23, 2000;

WHEREAS, **Genentech, Inc.**, a corporation organized and existing under the laws of the State of Delaware, having a place of business at **1 DNA Way, South San Francisco, CA 94080**, and **CuraGen Corporation**, a corporation organized and existing under the laws of the State of Delaware, having a place of business at **555 Long Wharf Drive, New Haven, CT 06511**, hereinafter called the "**Assignees**", desire to acquire the entire right, title and interest in and to the invention and the patent application identified above, and all patents which may be obtained for said invention, as set forth below;

NOW, THEREFORE, in consideration of valuable and legally sufficient consideration, the receipt of which by the Assignors from the Assignees is hereby acknowledged, the Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer to the Assignees, the entire right, title and interest for the United States in and to the invention and the patent application identified above, and any patents that may issue for said invention in the United States; together with the entire right, title and interest in and to said invention and all patent applications and patents therefor in all countries foreign to the United States, including the full right to claim for any such application all benefits and priority rights under any applicable convention; together with the entire right, title and interest in and to all continuations, divisions, renewals and extensions of any of the patent applications and patents defined above; to have and to hold for the sole and exclusive use and benefit of the Assignees, its successors and assigns, to the full end of the term or terms for all such patents.

The Assignors hereby covenant and agree, for both the Assignors and the Assignors' legal representatives, that the Assignors will assist the Assignees in the prosecution of the patent application identified above; in the making and prosecution of any other patent



STATE OF )  
 ) ss.  
COUNTY OF )

I, \_\_\_\_\_, A Notary Public in and for the County and State aforesaid, do hereby certify that Diane Pennica, personally known to me to be the same person whose name is subscribed to the foregoing instrument, appeared before me this day in person and acknowledged that (s)he signed, sealed and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

IN WITNESS WHEREOF, I have hereunto set my hand and Notarial Seal, this  
day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

(SEAL)

My Commission Expires:

STATE OF Connecticut  
COUNTY OF New Haven ss.

I, Jenell Marie Lawson, A Notary Public in and for the County and State aforesaid, do hereby certify that Luca Rastelli, personally known to me to be the same person whose name is subscribed to the foregoing instrument, appeared before me this day in person and acknowledged that (s)he signed, sealed and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

IN WITNESS WHEREOF, I have hereunto set my hand and Notarial Seal, this  
July day of 20, 2001.

\_\_\_\_\_  
Notary Public

(SEAL)

My Commission Expires **JENELL MARIE LAWSON**  
**NOTARY PUBLIC**  
**MY COMMISSION EXPIRES FEB. 28, 2004**

PATENTS ONLY

PATENTS ONLY

## TO THE COMMISSIONER FOR PATENTS

Please record the attached original document or copy thereof.

1. Name of Party(ies) conveying an interest:

Diane Pennica  
Luca Rastelli

2. Name and Address of Party(ies) receiving an interest:

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Internal Address:  
Street Address: 1 DNA Way  
City: South San Francisco  
State/Zip: California, 94080

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☐ Yes ☒ No

Additional name(s) and addresses attached?

☒ Yes ☐ No

3. Description of the interest conveyed:

☒ Assignment ☐ Change of Name Other:  
☐ Security Agreement ☐ Merger

Execution Date: 07/24/01 and 07/20/01; respectively

4. Application number(s) or patent number(s). Additional sheet attached? ☐ Yes ☒ No

If this document is being filed together with a new application, the execution date of the application is:

Date

A. Patent Application No.(s)

09/816,653

60/191,532

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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P.O. BOX 10395  
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6. Number of applications and patents involved: 1

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DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Gregory M. Zinkl, Ph.D.  
Name of Person Signing  
Signature8/1/01  
Date

Total number of pages including cover sheet, attachments, and document: 5